

Approval Date: December 9, 2011

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Parent Policy: [Centres and Institutes Policy](#)

Affiliated Centres and Institutes Establishment Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia (multi-institutional partnerships) that are created to fulfill the mandate of a research grant.

Purpose

To outline the steps necessary for establishing an affiliated centre or institute.

PROCEDURE

1. PROPOSAL

A *University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes* can be accessed from Forms (below). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President (Academic). All proposals for the establishment of affiliated centres and institutes created through a contractual relationship or agreement, depending on the nature of the centre or institute being contemplated, require consultation with the Office of the Provost and Vice-President (Academic) office or the Office of the Vice-President (Research) office at the earliest feasible stage.

The proposal template addresses the critical elements of a proposal as outlined within the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*.

In addition to the required critical elements, the proposal submitted to the Provost shall contain:

- a. The name and detailed purpose of the unit and the name and signature of the **Reporting Dean**;
- b. Potential benefits to the University of Alberta;
- c. Membership and governance structure/reporting guidelines (including a diagram of organizational structure);
- d. A statement of the employment status and funding of employees;
- e. A detailed budget which includes clear delineation of sources of operating funds;
- f. A statement of potential risks to the University of Alberta inherent in the activities of the proposed Centre/Institute and what steps would be taken to mitigate and/or manage them;
- g. Physical space requirements;
- h. A statement for the provision of intellectual property;
- i. Statement of a provision for annual reporting and a stated provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined within the affiliation agreement;
- j. An exigency plan for termination;
- k. Letters of support from relevant on- and off-campus sources;
- l. The agreement, contract and/or memoranda of understanding between the University of Alberta and its partners within the affiliation agreement.

2. ESTABLISHMENT

All proposals for establishment of affiliated centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. Proposals deemed to be in good order will be forwarded by the proposer(s) to the President's Executive Committee – Operational (PEC-O) for final approval

Proposed affiliated centres and institutes shall not operate prior to receipt of notice of approval.

All affiliated centres and institutes operating but not approved by PEC-O shall come into compliance immediately or be considered for closure.

3. RECORDS

The Office of the Provost is the office of primary record for all signed affiliation agreements for centres and institutes. The Office of the Provost will maintain a list of all affiliated centres and institutes.

Centres and institutes may be incorporated, but not all incorporated entities are centres and institutes under UAPPOL policy. A separate list of incorporated entities that are NOT centres and institutes shall be maintained by the Vice-President (Finance and Administration).

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [[▲Top](#)]

Affiliated Centre or Institute	<p>An affiliated centre or institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The centre or institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This definition would include centres and institutes located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
Academic Centre or Institute	<p>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta . An academic centre or institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the centre or institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, academic centres and institutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic centre or institute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Reporting Dean	<p>The Dean of the Faculty to which a centre of institute reports, as designated by the Executor of the affiliation agreement – normally the Vice-President 9Academic) or the Vice-President (Research). The Reporting Dean is responsible for the University's participation in an affiliated centre or institute. In the case where multiple Deans are associated with a centre or institute, the Executor will designate one Dean as the Reporting Dean.</p>

Executor	The Executor (signatory) of the affiliation agreement on behalf of the Board of Governors – normally the Vice-President (Academic) or the Vice-President (Research).
Control	Majority of voting shares and/or ability to appoint the majority of directors.

FORMS

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[University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes](#)

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[Naming Policy](#) (University of Alberta)